

# **Lead Employer Trust**

# **Dignity at Work Policy**

## POLICY INFORMATION SHEET

Reference Number	HR/LET-001
Title	<b>Dignity at Work Policy</b>
Version number	9.0
Document Type	Procedure
Original policy date	Wednesday 4 <sup>th</sup> January 2012
Date approved	March 2012
Effective date	As above
Approving body	LET Management Group
Originating Directorate	LET HR Department
Scope	LET wide
Last review date	April 2023
Next review date	April 2024
Reviewing body	LET Management Group
Document Owner	Head of Human Resources for the LET
Equality impact assessed	Yes
Date superseded	
Status	Approved
Confidentiality	Unrestricted
Business Criticality	
Keywords	Policy Dignity Bullying Harassment

## Summary of Changes

<b>Date of Change</b>	<b>Changes made</b>	<b>Location of changes</b>	<b>Changes approved</b>	<b>Version Control</b>
11 <sup>th</sup> March 2014	Remove all reference to Northern Deanery. Change to Health Education North East (HENE)	Pages: 12	17 <sup>th</sup> January 2014	Now version 2
February 2015	Update to include GP	Pages: 6,8,10,11,12,13,14 and 17	May 2015	Version 3
April 2016	Document Update	All pages	31 <sup>st</sup> May 2016	Version 4
January 2017	Review of document	All pages	31/1/2017	Version 5
March 2018				Version 6
December 2019	Review to include Foundation Doctors	Appendix C	31 <sup>st</sup> March 2020	Version 7
February 2021	Annual Review			Version 8
April 2022	Annual Review			Version 9
April 2023	Annual Review			Version 9
May 2023	Equality Impact Assessment	Page 18	30 <sup>th</sup> May 2023	Version 9

## Contents

1. POLICY STATEMENT .....	5
2. INTRODUCTION .....	5
3. DEFINITIONS .....	5
4. POLICY .....	5
5. THE LAW .....	7
6. CODE OF CONDUCT .....	7
7. THE ROLE OF THE LET HUMAN RESOURCES DEPARTMENT .....	8
8. REPRESENTATION .....	8
9. SUPPORT AND ADVICE .....	9
10. TRAINING .....	9
11. MALICIOUS COMPLAINTS .....	9
12. PROCEDURE FOR DEALING WITH A COMPLAINT OF HARASSMENT .....	9
13. POST INVESTIGATION .....	12
14. APPEALS .....	13
15. EQUALITY & DIVERSITY STATEMENT .....	13
16. REVIEW AND MONITORING .....	13
17. REFERENCES/ASSOCIATED DOCUMENTS .....	14
APPENDIX A - EXAMPLES OF UNACCEPTABLE BEHAVIOUR .....	15
APPENDIX B - EXCLUSION - RISK ASSESSMENT .....	16
APPENDIX C – EQUALITY IMPACT ASSESSMENT .....	19

## 1. POLICY STATEMENT

The Lead Employer Trust (LET) is committed to the elimination of harassment and bullying, and the protection of the dignity and respect of all persons at work, treating all reports seriously and without prejudice to the employee or their career.

All those involved in making or dealing with a complaint of harassment will respect confidentiality at all times.

## 2. INTRODUCTION

Harassment is one of the most offensive and demeaning experiences an employee can suffer, not only is it an infringement of employees' rights but it can also have a devastating effect on the health and safety of those affected by it. Actual or perceived instances of harassment can cause the employee to feel threatened, humiliated, and can interfere with the employee's job performance and create a threatening or intimidating work environment.

From an employer's standpoint it can reduce efficiency, damage morale and increase employee costs, and can ultimately result in the loss of valued members of staff.

The purpose of this policy is to make all employees and managers aware of the many forms of harassment in the workplace, and to ensure that managers, employees, trade unions and staff organisations are aware of how they can help to avoid, eliminate and deal effectively with complaints about harassment.

## 3. DEFINITIONS

Where the term 'harassment' is used in this document, it should be taken to include harassment/bullying/victimisation/intimidation.

Harassment is defined as "any unwanted or unreciprocated conduct affecting the dignity of men and women in the workplace, based on age, sex, sexual orientation, gender reassignment, disability, HIV status, race, colour, language, religion, political, trade union or other opinion or belief, national or social origin, association with a minority, pregnancy/maternity, marriage/civil partnership, domestic circumstances, property, birth or other status."

Bullying is defined as "the unwanted behaviour, one to another, which is based upon the unwarranted use of authority and power" i.e. offensive, intimidating, malicious or insulting behaviour.

Harassment can take many guises from extreme forms such as physical violence to less obvious actions like ignoring someone at work. Examples of forms of harassment are listed in the Appendix A to this document. The list is not exhaustive and in all cases it is for the recipient to define what inappropriate behaviour is.

At work includes any place where the occasion can be identified with either the requirements of the employer, or with social events linked to the same employment. It includes any place where NHS care is delivered.

In all cases ***the key is that it will be for the individual to define the actions or comments that they feel are unacceptable behaviour.***

## 4. POLICY

This policy applies to all doctors and dentists employed by the LET.

All employees of the LET have the right not to be harassed, but to be treated with dignity and respect.

Harassment can be unlawful and the LET considers any form of harassment by its employees to be a serious offence and will not condone such behaviour.

Any employee harassing or expressing discriminatory views about another employee will be dealt with in accordance with the Disciplinary Procedure for Medical and Dental Staff. Where harassment is of a very serious nature, this can lead to dismissal.

In all cases it is for the person being harassed to define the actions or comments that they feel are unacceptable; the fact that the alleged harasser does not intend to cause offence does not defend their actions.

An employee of the LET, who makes a complaint against a fellow employee, will have their complaint dealt with in a confidential, prompt and efficient manner subject to ensuring a fair and equitable investigation.

Employees will not be victimised or disadvantaged in any way as a result of making a complaint of harassment in good faith or for giving evidence about such a complaint.

Discrimination or victimisation of an employee for complaining about or assisting in an investigation or harassment will be dealt with as a disciplinary offence.

Making a deliberately false or malicious complaint of harassment will be considered as a serious offence, and will result in disciplinary action in accordance with Disciplinary Procedure for Medical and Dental Staff.

It is recognised that employees may be subjected to harassment by patients, visitors or staff employed by host training organisation and whilst these cannot be dealt with under the Disciplinary Procedure for Medical and Dental Staff they will still be taken seriously and the LET will work with the host training organisation. In such circumstances, employees should refer to their host training organisations complaints procedure and policy on managing violence and aggression.

## 5. THE LAW

### 5.1. The Equality Act 2010

The Equality Act 2010 prevents discrimination, harassment or less favourable treatment on the grounds of nine 'protected characteristics' which are:

- **Age**
- **Disability** - A person has a disability if s/he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.
- **Gender reassignment** - The process of transitioning from one gender to another.
- **Marriage and civil partnership** - Marriage is defined as a 'union between a man and a woman'. Same-sex couples can have their relationships legally recognised as 'civil partnerships' or in some countries a civil partnership can be converted into a marriage. Civil partners must be treated the same as married couples on a wide range of legal matters.
- **Pregnancy and maternity** - Maternity refers to the period after the birth, and is linked to maternity leave in the employment context. This includes treating a woman unfavourably because she is breastfeeding.
- **Race** - Refers to the protected characteristic of Race. It refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.
- **Religion and belief** - Religion has the meaning usually given to it but belief includes religious and philosophical beliefs including lack of belief (e.g. Atheism).
- **Sex/Gender**
- **Sexual orientation** - Whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes.

### 5.2. The Criminal Justice and Public Order Act 1994

The Criminal Justice and Public Order Act 1994 and provides legal redress against those who intentionally cause another person harassment, alarm or distress through the use of threatening, abusive or insulting words or behaviour.

### 5.3. The Protection from Harassment Act 1997

The Protection from Harassment Act 1997 extends both criminal and civil provisions for harassment and stalking.

If these legal requirements are contravened both the individual concerned and the LET can expect their actions and decisions to be challenged in internal grievance, appeal and harassment hearings and could also be potentially liable to external legal proceedings in courts and Employment Tribunals. However if the LET can illustrate that it has taken the necessary steps to prevent acts of harassment or to deal with harassment issues brought to the attention of the LET, only the individual would be considered liable.

## 6. CODE OF CONDUCT

Every **employee** has a personal responsibility:

- For their own behaviour and should contribute positively towards a harassment free working environment.

- To help stop harassment in the workplace by making sure their own conduct does not cause offence/misunderstanding; by not being afraid to stand up against being harassed or supporting colleagues who are being harassed; by challenging or reporting unacceptable behaviour to another employee.
- To respect confidentiality at all times, when involved in making or dealing with a complaint of harassment (including as a witness). Failure to do so will be considered a disciplinary offence. However, an employee may discuss the issue with their representative on a confidential basis.

Every **manager** has a responsibility to:

- Ensure that all employees know how to raise harassment problems and are aware of their responsibilities, the Law and LET Policy.
- Give strong leadership by publicly endorsing policies and procedures and regularly monitoring their implementation and effectiveness.
- Set a good example by treating all employees, patients and visitors with dignity and respect. They need to set the standards of acceptable behaviour expected of their staff.
- Ensure that their own behaviour cannot be construed as personal harassment by acting with fairness and equity.
- Be alert and correct unacceptable behaviour.
- Deal with complaints fairly, thoroughly, quickly and confidentially in accordance with procedures, respecting the rights of all parties. It is the responsibility of the investigating manager to produce an outcome to a complaint which offers a remedy.
- Inform the LET of any inappropriate behaviour so this can be dealt in accordance with the Disciplinary Procedure for Medical and Dental Staff
- Ensure the complainant is not victimised or retaliated against for bringing any genuine case forward.
- Ensure that any witnesses are not victimised or retaliated against for assisting in investigating a complaint.
- Ensure that any reported harassment has stopped and that there has been no victimisation.

## **7. THE ROLE OF THE LET HUMAN RESOURCES DEPARTMENT**

The LET HR Department is available to advise and support managers and staff on any aspect of this policy.

Monitoring of Harassment Incidents will be carried out on an anonymous basis via the host training organisation and through the formal procedures. This information will assist in evaluating the host training organisations effectiveness in dealing with harassment. Complaints and outcomes will be monitored in partnership with local staff representatives.

### **7.1. Professional Organisations**

Where a member of professional healthcare staff is found to have been involved in a case of harassment they may be reported to their relevant professional body e.g. the GMC for medical trainees or the GDC for dental trainees, or other relevant professional body.

## **8. REPRESENTATION**

Under the *ACAS Code of Practice 2009 - Disciplinary and Grievance Procedures*, the employee has a right to be accompanied by a 'companion' at formal meetings that may

result in a warning or some other action. However, the LET will continue to extend the right to be accompanied at any formal meeting which is part of the process e.g. investigatory interviews. The employee may be accompanied by a trade union representative, an official employed by a trade union or a colleague from within the LET but not someone acting in a legal capacity. Employees may only have one companion and the companion should not be someone who would prejudice the investigation/hearing process.

The LET also allows employees being investigated, or witnesses, to be accompanied at the investigation stages of the procedure, as long as that will not delay the investigation or the companion is not part of the investigation.

A LET employee who has agreed to accompany a colleague (also employed by the LET) is entitled to take reasonable paid time off to fulfil that responsibility, where possible.

The companion should be allowed to address the hearing and to put and sum up the employee's case, but does not have the right to answer questions on the employee's behalf.

It is the employee's responsibility to arrange their own representation.

## **9. SUPPORT AND ADVICE**

The LET recognises that staff being harassed at work may be unwilling or find it difficult to take action. Anyone who believes they have been the subject of harassment can contact their LET HR Officer, who will offer advice, support and guidance in strict confidence and without obligation to take a complaint further.

An employee can also seek advice or support from trade union representatives, the Occupational health department, work colleagues or other members of the LET HR Department.

## **10. TRAINING**

LET HR Officers will be trained to handle complaints and receive guidance required to operate this Policy.

## **11. MALICIOUS COMPLAINTS**

Where a complaint turns out not to be made in good faith, the Investigating Manager will decide whether the Disciplinary Procedure for Medical and Dental Staff should be invoked for the complainant.

## **12. PROCEDURE FOR DEALING WITH A COMPLAINT OF HARASSMENT**

An employee who feels they are being harassed may invoke the procedure outlined below.

The object of the procedure is to solve the problem as quickly as possible and wherever practicable as near as possible to the level at which the harassment arose.

Harassment can be dealt with in various ways ranging from asking the harasser to stop to making a formal complaint to management.

If an employee is being harassed there are several options available which are not mutually exclusive:

### **12.1. Informal Procedure**

Wherever possible, an employee, or someone on their behalf, may request the alleged harasser to stop the harassing behaviour and explain that it is unwelcome. People are not always aware that their behaviour is offensive and to be advised of this can often bring an

end to the problem. This can either be done verbally or if unable to confront the harasser, then a written request may be effective. Employees may do this with the support of their LET HR Officer if they wish. If allegations are against an employee of the host training organisation and not a LET employee, employees will require support from both the LET and host training organisation.

If employees do choose to approach the alleged perpetrator with their complaint, the following approach should be used:

- Plan exactly what to say to the alleged perpetrator;
- Choose an appropriate time and place to say it;
- Be specific and give examples of the unwanted behaviour, referring to any notes/records kept;
- Give an explanation of how their actions affect the individual concerned;
- Make it clear that the action must stop;
- Although difficult, the aim should be to keep the situation as calm as possible;
- The individual may choose to put the relevant information to the alleged perpetrator in writing.

Where the alleged perpetrator has been advised of the concern/complaint and the harassment continues the employee may then have no other alternative but to raise the harassment complaint through the formal procedure. If allegations are against an employee of the host training organisation, they should be raised to the host training organisations formal procedure. Employees will require support from both the LET and host training organisation.

Employees can choose to proceed with the formal procedure without previously invoking an informal remedy.

The person being harassed should be advised that it is important to keep a record of incidents so that they can accurately recall what has happened.

## **12.2. Mediation**

Where issues cannot be resolved informally locally, mediation is proven to be an effective tool for resolving interpersonal conflicts between colleagues, managers and their staff, conflicts between teams or between staff and trainees. Mediation is a confidential, objective and impartial means for resolving conflicts at an early stage, bringing the parties together with an objective third party in order to find a solution. During the process individuals have equal ability to reach agreements and are encouraged to identify their own solutions and agreements.

Where mediation is deemed appropriate the parties involved will meet with an independent mediator to discuss and resolve the issue(s), and agree on a way forward in terms of working together in the future. The outcome of the mediation will be confirmed to both parties in writing.

## **12.3. Formal Procedure**

The aim of the formal procedure is to resolve complaints of harassment or bullying swiftly and effectively with the minimum amount of distress.

It should be followed when one or more of the following applies:

- A complainant requests it, feeling unable to raise the complaint through the informal procedure;

- The informal procedure has failed:
- Harassment or bullying is persistent;
- The severity of a single instance of harassment warrants it.

An employee must submit their complaint in writing to their line manager or the next level of management if their line manager is the alleged harasser. The LET HR Department should be informed of all such complaints and their advice sought as to how to proceed.

Where employees do not feel able to report the harassment within their line management structure, they can raise their complaint directly with the LET HR Department who will advise if it is appropriate for another manager to investigate.

**NOTE:** The LET reserves the right to investigate inappropriate behaviour in the absence of a written complaint e.g. when incidents are brought to their attention by a third party.

The written complaint should outline the name of the harasser, nature of incident(s), dates and time when incident(s) occurred, names of any witnesses to any incident(s), and any action already taken by the complainant to stop the behaviour.

A formal complaint will trigger an investigation. An investigating officer will be appointed following discussion between a LET HR Department and the Manager. In some circumstances it will be appropriate to appoint an independent Investigating Officer from outside the immediate work area.

If either party has objections to the nominated officer conducting the investigation, they need to submit these in writing to the LET HR Department, outlining the specific reason(s) for their objection.

The investigating officer should undertake an initial assessment of the facts themselves i.e. speak to the alleged harasser as soon as possible and advise them that a complaint has been made, and getting and recording their response. They will be reminded of the seriousness of the allegation(s) and that the matter will be investigated and disciplinary action may be taken in accordance with the Disciplinary Procedure for Medical and Dental Staff. This will be confirmed in writing.

The investigating officer will carry out a thorough investigation as quickly as possible.

Any relevant witnesses, where appropriate, will be interviewed. The importance of confidentiality will be emphasised. Witnesses need to be advised that they might be called to future proceedings i.e. disciplinary hearings, to substantiate their evidence.

The alleged harasser will be given details of the complaint and given the opportunity to respond.

Both the alleged harasser and the complainant will be regularly updated with progress on the investigation.

#### **12.4. Exclusion**

Where a complaint of a very serious nature is received, action may be taken quickly to separate the alleged harasser from the complainant, at no financial loss to the complainant.

In serious cases, exclusion should be considered while the case is investigated. This will only be imposed after careful consideration and discussion with the LET HR Department, and the requirement to remain on exclusion will be kept under review. For all LET employees, the final decision on whether to exclude an employee rests with the LET HR Department and not the employee's host training organisation. To consider the threats/risks of the employee remaining at work, the manager should complete the checklist at Appendix B.

In carrying out exclusion, the manager should:

- State why the employee is being excluded
- Make it clear that exclusion is not a disciplinary action.
- Make it clear that the employee should not come back onto LET/host training Organisation premises/back into the department without the prior permission of their manager (except for the purposes of personal or family healthcare).
- Where exclusion has taken place make it clear that the employee can come onto LET/host training organisations premises to see their representative, providing they give prior notification to their manager.
- Make it clear that independent support is available to the employee from the Occupational Health Department or a Health Education England in the North East (HEENE) Mentor can be appointed.
- Advise the employee to seek support/assistance from their trade union representative, human resources department, or fellow worker.

Exclusion of an employee does not in itself constitute a disciplinary action nor should it be seen as a presumption of guilt.

A letter confirming the above should be sent to the employee within five working days of the exclusion. Exclusion should always be **with pay**.

Whilst excluded an employee must remain available at the home address they have notified to the LET during the times they would otherwise have been on duty, (unless they have otherwise notified their manager of an alternative address at which they will be contactable), and be available to attend meetings at short notice. This requirement should be contained in the exclusion letter.

## 12.5. Findings

On completion of the investigation, the investigating officer will produce a factual report and decide whether the Disciplinary Procedure for Medical and Dental Staff needs to be invoked for the alleged harasser. The investigating officer will personally inform both parties of the findings. This will also be confirmed in writing together with a copy of the report.

Should the investigation conclude that there is no case to answer; the complainant can submit an appeal (see paragraph 14).

Should the investigation conclude that harassment has taken place, action may be taken against the alleged harasser in accordance with the Disciplinary Procedure for Medical and Dental Staff, following advice from the LET HR Department. In these circumstances copies of the statements made by witnesses will be made available to the alleged harasser. In certain circumstances statements may be withheld from the alleged harasser where it is believed that a serious situation could be exacerbated by the alleged harasser being aware of the identities and statements made by witnesses. The Investigating Officer will decide this, after taking advice from the LET HR Department.

It is acknowledged that some witnesses may be reluctant to appear at the disciplinary hearing. In these circumstances, the manager will, if necessary, adjourn the hearing to ask supplementary questions of witnesses in private.

## 13. POST INVESTIGATION

It is not unusual for working relationships to have broken down following a harassment investigation, particularly when the complainant and alleged harasser return to the

department, or a number of staff has been witnesses in a case. The LET will assist and support the department and host training organisation in moving forward and rebuilding the working relationships. It may use a variety of resources to do this, involving the Trainee Support Service. It will also be possible to utilise external professional help where necessary.

#### **14. APPEALS**

Either party has the right to appeal.

Both the complainant and alleged harasser may appeal if it is felt that the process of investigation has been unfairly or poorly carried out.

The complainant may lodge an appeal against the outcome of the investigation.

Appeals must be lodged within 14 calendar days from confirmation of the findings of the investigation, or completion of the disciplinary procedure (as appropriate) and addressed to the Head of Human Resources of the LET.

The appeal will take the following format:

- An independent officer will be nominated;
- A meeting will be held with the person lodging the appeal to establish the specific grounds for the appeal;
- The independent officer will undertake a review of all paperwork;
- If necessary, the independent officer can (re) interview witnesses and/or other relevant individuals; and
- The independent officer will provide a written response to the appeal.

This decision is the final stage of the Dignity at Work process and there will be no further level of internal appeal.

The alleged harasser will have the right of appeal against the perceived severity of any disciplinary action taken in accordance with the Conduct & Capability Procedure.

#### **15. EQUALITY & DIVERSITY STATEMENT**

The LET is committed to providing equality of opportunity, not only in its employment practices but also in all the services for which it is responsible. As such, an Equality Impact Assessment has been carried out on this policy to identify any potential discriminatory impact. The LET also values and respects the diversity of its employees and the wider community it serves. In applying this policy, representatives of the Trust will have due regard for the need to:

- Eliminate unlawful discrimination;
- Promote equality of opportunity;
- Provide for good relations between people of diverse groups.

For further information, please refer to the LET's Equality Diversity and Human Rights Policy.

#### **16. REVIEW AND MONITORING**

The Head of Human Resources for the LET is responsible for ensuring that the document is reviewed no later than three years from the date of issue. The policy may be amended at any time by joint agreement.

**17. REFERENCES/ASSOCIATED DOCUMENTS**

- Disciplinary Procedure for Medical and Dental Staff Equality Act 2010

## **APPENDIX A - EXAMPLES OF UNACCEPTABLE BEHAVIOUR**

**NOTE:** this list is not exhaustive.

- Spreading malicious rumours, or insulting someone (particularly on the grounds of gender/age/religion or belief/sexual orientation/race or disability as this is unlawful)
- Ridiculing or demeaning someone – picking on them or setting them up to fail
- Exclusion, isolation, non-co-operation, exclusion from social activities
- Overbearing supervision or other misuse of power or position
- Unwelcome physical contact or sexual advances – touching, standing too close, sexual assault
- Visual display of offensive material, posters, graffiti, obscene gestures
- Verbal and written harassment through jokes, ridicule, nicknames, offensive language, gossip etc.
- Making threats or comments (either face-to-face, on the telephone or e-mail or via a third person, or outside work)
- Coercion ranging from pressure for sexual favours to pressure to participate in activities within or outside the workplace which could not be reasonably expected of the employee.
- Requests for favours, including implied or overt promises of preferential treatment or threats concerning present or future employment status.
- Deliberately undermining a competent worker by overloading, constant/public criticism, setting unrealistic deadlines, constantly undervaluing effort
- Public humiliation
- Misuse of power/status
- Swearing/Shouting at an individual
- Deliberately ignoring someone at work i.e. “sending to Coventry”
- Mimicking the effect of a disability
- Tone of voice and body language
- Sending inappropriate text messages
- Posting inappropriate comments on social networking sites

Please note that incidents which occur between employees outside the workplace can be addressed in accordance with this Policy.

## **APPENDIX B - EXCLUSION - RISK ASSESSMENT**

Before considering exclusion from duty or other alternative action, please refer to the LET Conduct & Capability Procedure.

It is the responsibility of the LET HR Department to put in place any exclusion of LET employees and a LET HR representative must be present when notifying the employee of the allegation/exclusion/alternative action.

In a limited number of circumstances it may be necessary to Immediately Exclude an employee at a time when the LET HR Department are unavailable e.g. overnight or at the weekend. In such cases, the host training organisation will take the appropriate action and inform the LET immediately.

Please note there is no statutory requirement for an employee to be accompanied when discussing exclusion.

**A copy of this form should be sent to the Head of Human Resources of the LET and contact within the host training organisation.**

Information to be completed by the Manager:

<b>Employee name</b>	
<b>Post title</b>	
<b>Department</b>	
<b>Site</b>	
<b>Line manager</b>	
<b>Date of incident/allegation received</b>	
<b>Nature of allegation</b>	
<b>Date employee informed</b>	
<b>Name(s) of those present</b>	
<b>Employee Response</b>	
<b>Reason for exclusion (tick all which apply)</b>	<b>Offence so serious as to likely warrant dismissal</b> <b>Risk to patient safety</b> <b>Risk to colleagues safety</b> <b>Risk employee may hamper the investigation (e.g. interfere with evidence/intimidate witness)</b> <b>In the interests of service delivery</b> <b>In the interest of diffusing a serious situation</b>

Could an alternative to exclusion be considered?	YES/NO
If no, explain the basis for this decision	
If Yes, what is the alternative offered? (tick all which apply)	Transfer to other duties Transfer to another department Transfer to another Site Change of Working Hours Restriction on duties/supervision Allowed to work from home Other – please specify:
Does the employee accept the alternative to exclusion?	YES/NO  If not accepted, exclusion will apply
Date of Exclusion	
Confirm contact details of employee i.e. address, phone number	
Date HR informed	
Excluding Manager's Name	
Excluding Manager's Signature	
Position	
Date confirmation letter (provided by HR) sent	
Date of first review of exclusion/ alternative arrangements (must be within 2 weeks if Immediate Exclusion or 4 weeks if Formal Exclusion)	

1.

**Review of Continuing Exclusion**

Information to be completed by the Manager:

2.

**First Review**

(This should normally take place no later than two weeks after date of Immediate Exclusion or four weeks after date of Formal Exclusion).

3.

<b>Date:</b>	
<b>Exclusion to Continue?</b>	<b>YES/NO</b>
<b>Outline reasons:</b>	
<b>Signed: .....</b>	<b>Print Name: .....</b>

4.

5.

**Second Review**

**(This should normally take place no later than Four weeks after First Review).**

<b>Date:</b>	
<b>Exclusion to Continue?</b>	<b>YES/NO</b>
<b>Outline reasons:</b>	
<b>Signed: .....</b>	<b>Print Name: .....</b>

6.

## APPENDIX C – EQUALITY IMPACT ASSESSMENT

### Preliminary Assessment Form

v1/2009

The preliminary impact assessment is a quick and easy screening process.

It should:

- Identify those policies, procedures, services, functions and strategies which require a full EIA by looking at:
  - negative, positive or no impact on any of the equality groups
  - opportunity to promote equality for the equality groups
  - data / feedback
- prioritise if and when a full EIA should be completed
- justify reasons for why a full EIA is not going to be completed

**Division/Department**

Human Resources

**Title of policy, procedure, function or service**

Dignity at Work Policy

**Type of policy, procedure, function or service**

- Existing
- New/proposed
- Changed



**Q1 - What is the aim of your policy, procedure, project or service?**

To state the LET commitment to a workplace free from harassment and support employees who make a complaint

**Q2 - Who is the policy, procedure, project or service going to benefit?**

LET Employees

**Q3 - Thinking about each group below, does, or could the policy, procedure, project or service have a negative impact on members of the equality groups below?**

Group	Yes	No	Unclear
Age		N	
Disability		N	

Race		N	
Gender		N	
Transgender		N	
Sexual Orientation		N	
Religion or belief		N	
Marriage & Civil Partnership		N	
Pregnancy & Maternity		N	
Relationships between groups		N	
Other socially excluded groups		N	

If the answer is “Yes” or “Unclear” complete a full EIA

**Q4 – Does, or could, the policy, procedure, project or service help to promote equality for members of the equality groups?**

Group	Yes	No	Unclear
Age	Y		
Disability	Y		
Race	Y		
Gender	Y		
Transgender	Y		
Sexual Orientation	Y		
Religion or belief	Y		
Marriage & Civil Partnership	Y		
Pregnancy & Maternity	Y		
Relationships between groups	Y		
Other socially excluded groups	Y		

**Q5 – Do you have any feedback data from equality groups that indicate how this policy, procedure, project or service may impact upon these groups?**

Group	Yes No Impact	Yes Impact	No	Unclear
Age			N	
Disability			N	
Race			N	
Gender			N	
Transgender			N	
Sexual Orientation			N	
Religion or belief			N	
Marriage & Civil Partnership			N	
Pregnancy & Maternity			N	
Relationships between groups			N	
Other socially excluded groups			N	

If the answer is “Yes Impact”, “No”, “Unclear” or opinion is divided complete a full EIA

**Q6 – Using the assessments in questions 3, 4 and 5 should a full assessment be carried out on this policy, procedure, project or service?**

Yes		No	X
-----	--	----	---

**If you have answered “Yes” now follow the EIA toolkit and complete a full EIA form**

**Q7 – How have you come to this decision?**

No indication that equality groups have been adversely affected by this policy

**Q8 – What is your priority for doing the full EIA**

High	Medium	Low
		X

**Q9 – Who was involved in the EIA?**

HR Department, Lead Employer Trust

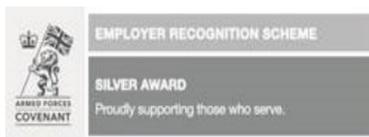
**This EIA has been approved by:**

Head of Human Resources, Lead Employer Trust

**Date:** 18.5.2023

**Contact num** 0191 275 4769

**Please ensure that a copy of this assessment is attached to the policy document to which it relates.**



North East  
**Better Health**  
at Work Award  
Gold Award

